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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	2
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**Complete if Known**

Application Number	10/840,188
Filing Date	May 05, 2004
First Named Inventor	Mark Mathis
Art Unit	3731
Examiner Name	NGUYEN, TUAN VAN
Attorney Docket Number	10057-719.201

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	10/840,188		
		Filing Date	May 05, 2004		
		First Named Inventor	Mark Mathis		
		Art Unit	3731		
		Examiner Name	NGUYEN, TUAN VAN		
Sheet	2	of	2	Attorney Docket Number	10057-719.201

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/TN/	237	MATHIS et al., U.S. Patent App. # 11/782,490 entitled "Device and method for modifying the shape of a body organ," filed 7/24/2007.	
/TN/	238	Mathis et al., U.S. Patent App. # 11/782,508, entitled "Device and method for modifying the shape of a body organ," filed 7/24/2007.	
/TN/	239	Mathis et al., U.S. Patent App. # 11/782,527 entitled "Device and method for modifying the shape of a body organ," filed 7/24/2007.	

Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007
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PTO/SB/08A (04-07)

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	First Named Inventor	Mark Mathis
	Art Unit	3731
	Examiner Name	Nguyen, Tuan Van
Sheet 1 of 4	Attorney Docket Number	10057-719.201

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
/TN/  ↓	24	US- 2003/0083613	5/1/2003	Schaer	
	49	US- 2004/0193260	9/30/2004	Alferness et al.	
	50	US- 2004/0220654	11/4/2004	Mathis et al.	
	51	US- 2004/0220657	11/4/2004	Nieminen et al.	
	53	US- 2004/0249452	12/9/2004	Adams et al.	
	55	US- 2005/0004667	1/6/2005	Swinford et al.	
	57	US- 2005/0021121	1/27/2005	Reuter et al.	
	59	US- 2005/0027353	2/3/2005	Alferness et al.	
	60	US- 2005/0033419	2/10/2005	Alferness et al.	
	61	US- 2005/0038507	2/17/2005	Alferness et al.	
	62	US- 2005/0065598	3/24/2005	Mathis et al.	
	63	US- 2005/0096666	5/5/2005	Gordon et al.	
	64	US- 2005/0119673	6/2/2005	Gordon et al.	
	69	US- 2005/0149179	7/7/2005	Mathis et al.	
	70	US- 2005/0149180	7/7/2005	Mathis et al.	
	71	US- 2005/0149182	7/7/2005	Alferness et al.	
	73	US- 2005/0187619	8/25/2005	Mathis et al.	
	74	US- 2005/0197692	9/8/2005	Pai et al.	
	75	US- 2005/0197693	9/8/2005	Pai et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> *Number <sup>4</sup> *Kind Code <sup>5</sup> (if known)				
/TN/	180	EP 0903110 A1	3/24/1999	B. Braun Medical Inc.		
↓	181	EP 0968688 A1	1/5/2000	Cordis Europa N. V.		
	188	WO 00/74603 A1	12/14/2000	Colvin et al.		
	201	WO 02/060352 A1	8/8/2002	Mitralife		

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STATEMENT BY APPLICANT**

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Sheet 2 of 4**Complete if Known**

Application Number	10/840,188
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First Named Inventor	Mark Mathis
Art Unit	3731
Examiner Name	Nguyen, Tuan Van
Attorney Docket Number	10057-719.201

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/TN/	76	US- 2005/0197694	9/8/2005	Pai et al.	
	77	US- 2005/0209690	9/22/2005	Mathis et al.	
	78	US- 2005/0216077	9/29/2005	Mathis et al.	
	80	US- 2005/0261704	11/24/2005	Mathis	
	81	US- 2005/0272969	12/8/2005	Alfemess et al.	
	82	US- 2006/0020335	1/26/2006	Kowalsky et al.	
	83	US- 2006/0030882	2/9/2006	Adams et al.	
	84	US- 2006/0116758	6/1/2006	Swinford et al.	
	85	US- 2006/0142854	6/29/2006	Alfemess et al.	
	86	US- 2006/0161169	7/20/2006	Nieminen et al.	
	87	US- 2006/0167544	7/27/2006	Nieminen, et al.	
	88	US- 2006/0173536	8/3/2006	Mathis, et al.	
	89	US- 2006/0191121 A1	8/31/2006	Gordon	
	177	US- 2006/0271174 A1	11/30/2006	Nieminen et al.	
	176	US- 2006/0276891 A1	12/7/2006	Nieminen et al.	
	230	US- 2007/0066879 A1	3/22/2007	Mathis et al.	
	175	US- 2007/0055293 A1	3/8/2007	Alfemess, et al.	
	90	US- 3995623	12/7/1976	Black et al.	
	102	US- 5,441,515	8/15/1995	Khosravi et al.	

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet 3

3

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**Complete if Known**

Application Number	10/840188
Filing Date	May 05, 2004
First Named Inventor	Mark Mathis
Art Unit	3731
Examiner Name	Nguyen, Tuan Van
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/TN/	119	US- 5,978,705	11/2/1999	KenKnight et al.	
	225	US- 5,954,761	9/21/1999	Machek et al.	
	121	US- 6,015,402	1/18/2000	Sahota	
	132	US- 6,254,628	7/3/2001	Wallace et al.	
	227	US- 6,267,783	7/31/2001	Letendre et al	
	135	US- 6,345,198	2/5/2002	Mouchawar et al.	
	151	US- 6,629,534	10/7/2003	St. Goar et al.	
	152	US- 6,629,994	10/7/2003	Gomez et al.	
	153	US- 6,643,546	11/4/2003	Mathis et al.	
	156	US- 6,709,425	3/23/2004	Gambale et al.	
	228	US- 6,721,598	4/13/2004	Helland et al	
	160	US- 6,733,521	5/11/2004	Chobotov et al.	
	226	US- 6,821,297	11/23/2004	Snyders, Robert	
	223	US- 6,827,690	12/7/2004	Bardy, Gust H	
	172	US- 6,964,683	11/15/2005	Kowalsky et al.	
	173	US- 6,966,926	11/22/2005	Mathis	
		US-			
		US-			
		US-			

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/TN/	178	Mathis, et al; U.S. Pat. App. # 11/279,352, entitled "Mitral Valve Annuloplasty Device with Vena Cava Anchor," filed 04/11/2006 (SLG # 10057-739.201).	
/TN/	229	Mathis, Mark; U.S. Pat. App. # 11/655,710, entitled "Mitral Valve Device Using Conditioned Shape Memory Alloy," filed 1/18/2007 (SLG # 10057-714.301).	
/TN/	219	GRAY, H. Anatomy of the Human Body. The Systemic Veins. Philadelphia: Lea & Febiger, 1918; Bartleby.com. 2000. Available at <a href="http://www.bartleby.com/107/">www.bartleby.com/107/</a> . Accessed June 7, 2006.	
/TN/	220	Heartsite.com. Echocardiogram, 1999; p.1-4. A.S.M. Systems Inc. Available at: <a href="http://www.heartsite.com/html/echocardiogram.html">http://www.heartsite.com/html/echocardiogram.html</a> . Accessed July 1, 2005.	

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				Filing Date	May 5, 2004
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				Art Unit	1614
				Examiner Name	Not yet assigned
Sheet	1	of	8	Attorney Docket Number	29912-719.201

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/TN/		US-2001/0018611	08/30/2001	Solem et al.	
		US-2001/0044568	11/22/2001	Langberg et al.	
		US-2001/0049558	12/06/2002	Liddicoat et al.	
		US-2002/0016628	02/07/2002	Langberg et al.	
		US-2002/0042621	04/11/2002	Liddicoat et al.	
		US-2002/0042651	04/11/2002	Liddicoat et al.	
		US-2002/0049468	04/25/2002	Streeter et al.	
		US-2002/0055774	05/09/2002	Liddicoat	
		US-2002/0065554	05/30/2002	Streeter	
		US-2002/0087173	07/04/2002	Alferness et al.	
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		US-2002/0183838	12/05/2002	Liddicoat et al.	
		US-2002/0183841	12/05/2002	Cohn et al.	
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		US-2003/0069636	04/10/2003	Solem et al.	
		US-2003/0078465	04/24/2003	Pai et al.	
		US-2003/0078654	04/24/2003	Taylor et al.	
		US-2003/0083538 (6,949,122)	05/01/2003	Adams et al.	
		US-2003/0088305	05/08/2003	Van Schie et al.	
		US-2003/0130730	07/10/2003	Cohn et al.	
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				Art Unit	1614	
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U.S. PATENT DOCUMENTS					
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		Number-Kind Code <sup>2</sup> (if known)			
/TN/		US-2003/0144697	07/31/2003	Mathis et al.	
		US-2003/0171776	09/11/2003	Adams et al.	
		US-2003/0225454	12/04/2003	Mathis et al.	
		US-2003/0236569	12/25/2003	Mathis et al.	
		US-2004/0010305	01/15/2004	Alferness et al.	
		US-2004/0019377	01/29/2004	Taylor et al.	
		US-2004/0039443	02/26/2004	Solem et al.	
		US-2004/0073302	04/15/2004	Rourke et al.	
		US-2004/0098116	05/20/2004	Callas et al.	
		US-2004/0102839	05/27/2004	Cohn et al.	
		US-2004/0111095	06/10/2004	Gordon et al.	
		US-2004/0127982	07/01/2004	Machold et al.	
		US-2004/0133220	07/08/2004	Lashinski et al.	
		US-2004/0133240	07/08/2004	Adams et al.	
		US-2004/0133273	07/08/2004	Cox	
		US-2004/0138744	07/15/2004	Lashinski et al.	
		US-2004/0148019	07/29/2004	Vidlund et al.	
		US-2004/0148020	07/29/2004	Vidlund et al.	
		US-2004/0148021	07/29/2004	Cartledge et al.	
		US-2004/0153147	08/05/2004	Mathis	
		US-2004/0158321	08/12/2004	Reuter et al.	
		US-2004/0176840	09/09/2004	Jonathan J. Langberg	
		US-2004/0193191	09/30/2004	Starksen, et al.	
		US-2004/0260342	12/23/2004	Vargas et al.	
		US-2004/0243227	12/02/2004	Starksen, et al.	
		US-2005/0027351	02/03/2005	Reuter et al.	
		US-2005/0137449	06/23/2005	Niemenen et al.	

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Substitute for form 1449/PTO. <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>		
				Application Number	10/840,188	
				Filing Date	May 5, 2004	
				First Named Inventor	Mark Mathis	
				Art Unit	1614	
				Examiner Name	Not yet assigned	
Sheet	3	of	8	Attorney Docket Number		29912-719.201

### U.S. PATENT DOCUMENTS

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		Number-Kind Code <sup>2</sup> (if known)			
/TN/		US-2005/0137450	06/23/2005	Aronson et al.	
		US-2005/0137451	06/23/2005	Gordon et al.	
		US-2005/0137685	06/23/2005	Nieminen et al.	
		US-4,055,861	11/01/1977	Carpentier et al.	
		US-4,164,046	08/14/1979	Cooley	
		US-4,485,816	12/04/1984	Krumme	
		US-4,550,870	11/05/1985	Krumme et al.	
		US-4,588,395	05/13/1986	Lemelson	
		US-4,830,023	05/16/1989	de Toledo et al.	
		US-5,061,277	10/29/1991	Carpentier et al.	
		US-5,250,071	10/05/1993	Palermo	
		US-5,261,916	11/16/1993	Engelson	
		US-5,265,601	11/30/1993	Mehra	
		US-5,350,420	07/27/1994	Cosgrove et al.	
		US-5,474,557	12/12/1995	Mai	
		US-5,514,161	05/07/1996	Limousin	
		US-5,554,177	09/10/1996	Kieval et al.	
		US-5,562,698	10/08/1996	Parker	
		US-5,584,867	12/17/1996	Limousin et al.	
		US-5,601,600	02/11/1997	Ton	
		US-5,676,671	10/14/1997	Inoue	
		US-5,733,325	03/31/1998	Robinson et al.	
		US-5,824,071	10/20/1998	Nelson et al.	
		US-5,891,193	04/06/1999	Robinson et al.	

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				Application Number	10/840,188
				Filing Date	May 5, 2004
				First Named Inventor	Mark Mathis
				Art Unit	1614
				Examiner Name	Not yet assigned
Sheet	4	of	8	Attorney Docket Number	29912-719.201

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/TN/		US-5,895,391	04/20/1999	Farnholtz	
		US-5,899,882	05/04/1999	Waksman et al.	
		US-5,908,404	06/01/1999	Elliot	
		US-5,928,258	07/27/1999	Khan et al.	
		US-5,935,161	08/10/1999	Robinson et al	
		US-5,961,545	10/05/1999	Lentz et al.	
		US-5,984,944	11/16/1999	Forber	
		US-6,027,517	02/22/2000	Crocker et al.	
		US-6,077,295	06/20/2000	Limon et al.	
		US-6,077,297	06/20/2000	Robinson et al	
		US-6,096,064	08/01/2000	Routh	
		US-6,099,549	08/08/2000	Bosma et al.	
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		US-6,129,755	10/10/2000	Mathis et al.	
		US-6,171,320	01/09/2001	Monassevitch	
		US-6,190,406	02/20/2001	Duerig et al.	
		US-6,210,432	04/03/2001	Solem et al.	
		US-6,275,730	08/14/2001	KenKnight et al.	
		US-6,342,067	01/29/2002	Mathis et al.	
		US-6,352,553	03/05/2002	van der Burg et al.	
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		US-6,358,195	03/19/2002	Green et al.	
		US-6,395,017	05/28/2002	Dwyer et al.	
		US-6,402,781	06/11/2002	Langberg et al.	
		US-6,419,696	07/16/2002	Ortiz et al.	

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				Application Number	10/840,188	
				Filing Date	May 5, 2004	
				First Named Inventor	Mark Mathis	
				Art Unit	1614	
Examiner Name	Not yet assigned					
Sheet	5	of	8	Attorney Docket Number	29912-719.201	

## U.S. PATENT DOCUMENTS

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		Number-Kind Code <sup>2</sup> (if known)			
/TN/		US-6,442,427	08/27/2002	Boute et al.	
		US-6,503,271	01/07/2003	Duerig et al.	
		US-6,537,314	03/25/2003	Langberg et al.	
		US-6,565,221	12/02/2003	Taylor et al.	
		US-6,569,198	05/27/2003	Wilson et al.	
		US-6,589,208	07/08/2003	Ewers et al.	
		US-6,602,288	08/05/2003	Cosgrove et al.	
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		US-6,623,521	09/23/2003	Steinke et al.	
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		US-6,656,221	12/02/2003	Taylor et al.	
		US-6,676,702	01/13/2004	Mathis	
		US-6,716,158	04/06/2004	Raman et al.	
		US-6,718,985	04/13/2004	Hlavka et al.	
		US-6,723,038	04/20/2004	Schroeder et al.	
		US-6,764,510	07/20/2004	Vidlund et al.	
		US-6,776,784	08/17/2004	Ginn	
		US-6,790,231	09/14/2004	Liddicoat et al.	
		US-6,793,673	07/01/2004	Kowalsky et al.	
		US-6,797,001	09/11/2003	Mathis et al.	
		US-6,800,090	11/14/2002	Alferness et al.	
		US-6,810,882	11/02/2004	Langberg et al.	
		US-6,824,562	11/13/2003	Mathis et al.	
		US-6,908,478	06/05/2003	Alferness et al.	

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				Art Unit	1614
				Examiner Name	Not yet assigned
Sheet	6	of	8	Attorney Docket Number	29912-719.201

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> - Number <sup>3</sup> - Kind Code <sup>4</sup> (if known)				
/TN/		EP 0893133	01/27/1999	Medex		✓
		EP 1050274-A1	11/08/2000	Medical Industries Corporation		
		EP 1095634-A2	05/02/2001	Cordis Corporation		
		GB 0741604	12/07/1955	S. & R. J. Everett & Company		
		WO 98/056435-A1	12/17/1998	Micro Therapeutics, Inc.		
		WO 00/044313-A1	08/03/2000	Viacor, Inc.		
		WO 00/060995-A3	10/19/2000	Evalue, Inc.		
		WO 01/000111-A1	01/04/2001	Solem et al.		
		WO 01/050985-A1	07/19/2001	Viacor, Inc.		
		WO 01/054618-A1	08/02/2001	Mitralife		
		WO 01/087180-A2	11/22/2001	Gaber		
		WO 02/000099-A2	01/03/2002	Viacor, Inc.		
		WO 02/001999-A2	01/10/2002	Viacor, Inc.		
		WO 02/005888-A1	01/24/2002	Viacor, Inc.		
		WO 02/019951-A1	03/14/2002	Viacor, Inc.		
		WO 02/034118-A2	05/02/2002	Viacor, Inc.		
		WO 02/047539-A2	06/20/2002	Viacor, Inc.		
		WO 02/053206-A2	07/11/2002	Cardiac Dimensions, Inc.		
		WO 02/062263-A2	08/15/2002	Viacor, Inc.		
		WO 02/062270-A1	08/15/2002	Solem et al.		
		WO 02/062408-A2	08/15/2002	Viacor, Inc.		
		WO 02/076284-A2	10/03/2002	Viacor, Inc.		
		WO 02/078576-A2	10/10/2002	Viacor, Inc.		
		WQ 02/096275-A2	12/05/2002	Viacor, Inc.		
		WO 03/015611-A2	02/27/2003	Viacor, Inc.		

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Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007
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				Examiner Name	Not yet assigned
				Attorney Docket Number	29912-719.201
Sheet	8	of	8		

[illegible]

Examiner signature	<i>ham Nguyen</i>	Date Considered	10/26/07
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